

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Rogers, John M.	2. Court or Organization U.S. Court of Appeals, 6th Cir	3. Date of Report 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge -- Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 100 E. Vine Street, Suite 400 Lexington KY 40507		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Professor Emeritus	University of Kentucky College of Law, Lexington KY
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 07/31/01	Publishing agreement with Aspen Publishers and two co-authors for an administrative law casebook with 15% royalty for the authors.
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Aspen Publishing Co., Book Royalties	\$2,708.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	World Trade Center Kentucky
2. 2013	Chinese Cultural & Education Center of Lexington
3. 2013	Birtley Industrial Equipment Co.
4. 2013	University of Kentucky

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Case Western Reserve Law School	April 6-7, 2013	Cleveland, OH	Moot Court	Travel, meals, lodging
2. China Foreign Affairs University	November 3-9, 2013	Beijing, China	Three lectures	Meals, lodging
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. USAA Aggressive Growth Fund (IRA)	B	Dividend	L	T					
2. TIAA retirement account	E	Interest	O	T					
3. CREF retirement account		None	P1	T					
4. US Savings Bonds Series EE	C	Interest	M	T					
5. ING Fidelity VIP MidCap Portfolio SRV		None			Sold	10/01/13	J		
6. Morgan Stanley Smith Barney bank deposit account	A	Interest	J	T					
7. USAA Subscriber's Savings Account		None	J	T					
8. Central Bank Checking Account	A	Interest	J	T					
9. First Federal Bank CD #1 (62)	A	Interest			Sold	05/13/13	K		
10. First Federal Bank CD #2 (43)	A	Interest			Sold	05/13/13	K		
11. ING VP Intermediate Bond Port - I		None			Sold	10/01/13	J		
12. ING VP Strategic Alloc Growth Port-I		None			Sold	10/01/13	K		
13. American Balanced Fund R- 3 (ING fam)		None			Sold	10/01/13	J		
14. ING Van Kampen Comstock Port - Init		None			Sold	10/01/13	K		
15. Growth Fund of America R-3 (ING fam)		None			Sold	10/01/13	J		
16. EuroPacific Growth Fund R-3		None			Sold	10/01/13	K		
17. First Federal Bank CD #3 (61)	A	Interest			Sold	01/02/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. First Federal Bank CD #4 (85)	A	Interest			Sold	05/13/13	K		
19. Wanger USA Mut Fd		None			Sold	10/01/13	J		
20. Neuberger Berman Genesis Fd NBGEX	A	Dividend	J	T					
21. Blackrock Eq Div Fd cl A MDDVX	A	Dividend	L	T					
22. Touchstone Sands Cap Sel (PTSGX)	A	Dividend	L	T					
23. Lazard Emerging Mkts Port Fd LZEMX	B	Dividend	K	T					
24. PIMCO Commodity Real Return Strat Fd D PCRDY	A	Dividend	J	T					
25. Nuveen Tradewinds Intl Val. Fd cl A NAIGX	A	Dividend	K	T	Buy (add'l)	02/16/13	J		
26. PIMCO Total Return Fd cl. D PTDDX	A	Dividend	J	T					
27. PIMCO Foreign Bond Fd cl A PFUAX	A	Dividend	J	T					
28. TCW Sm Cap Growth Fd cl N TGSNX	B	Dividend	J	T					
29. Cohen & Steers Realty Shs. Fd. CSRSX	A	Dividend	J	T					
30. Lazard Intl Strat Eq LISOX	A	Dividend	K	T	Buy	12/20/13	J		
31. Goldman Sachs Tr Brie Fd cl. A GBRAX	A	Dividend			Sold	07/24/13	J		
32. Western Asset Money Mkt Fd. cl. A	A	Dividend	J	T					
33. PIMCO Real Return Fd D PRRDX	A	Dividend	J	T					
34. First Federal Bank CD #5 (32)	A	Interest			Sold	05/13/13	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. First Federal Bank Money Market Acct (16)	A	Interest			Sold	05/13/13	K		
36. USAA Bank CD #1 (519)	A	Interest	L	T	Buy	05/14/13	L		
37. USAA Bank CD #2 (521)	A	Interest			Buy	05/14/13	K		
38.					Sold	11/20/13	K		
39. USAA Precious Metals Fund (USAGX)	A	Dividend	K	T					
40. USAA World Growth Fund (USAWX)	A	Dividend	K	T					
41. USAA International Fund (USIFX)	A	Dividend	K	T					
42. USAA Sci & Tec Fund (USSCX)	A	Dividend	K	T					
43. Living Trust #1 (x) (beneficial interest)	D	Distribution	J	T					
44. -- PNC bk checking acct (formerly RBC Centura)									
45. Vanguard Trgt Retire 2050 Fnd Inv (Birtley 401k plan)	A	Dividend	M	T	Buy	10/01/13	M		
46. Shroder Emerg Mkt SEMVX	A	Dividend	J	T	Buy	07/24/13	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ John M. Rogers**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544